

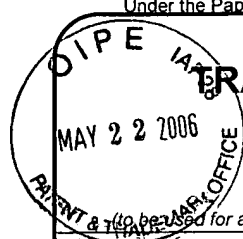
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PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031

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TRANSMITTAL
FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

22

Application Number

09/495,509

Filing Date

February 1, 2000

First Named Inventor

Robert Karch

Art Unit

2137

Examiner Name

Davis, Zachary A.

Attorney Docket Number

125/7

ENCLOSURES (Check all that apply)

☐

Fee Transmittal Form

☐

Fee Attached

☐

Amendment/Reply

☐

After Final

☐

Affidavits/declaration(s)

☐

Extension of Time Request

☐

Express Abandonment Request

☐

Information Disclosure Statement

☐

Certified Copy of Priority Document(s)

☐Reply to Missing Parts/
Incomplete Application☐Reply to Missing Parts
under 37 CFR 1.52 or 1.53☐

Drawing(s)

☐

Licensing-related Papers

☐

Petition

☐Petition to Convert to a
Provisional Application☐

Power of Attorney, Revocation

☐

Change of Correspondence Address

☐

Terminal Disclaimer

☐

Request for Refund

☐

CD, Number of CD(s) _____

☐

Landscape Table on CD

☐

After Allowance Communication to TC

☐Appeal Communication to Board
of Appeals and Interferences☐Appeal Communication to TC
(Appeal Notice, Brief, Reply Brief)☐

Proprietary Information

☐

Status Letter

☒Other Enclosure(s) (please identify
below):

See Remarks section below.

Remarks

Response to Notice of Improper Request (2 pgs.);

Copy of Notice of Improper Request (1 pg.);

Copy of RCE and Amendment filed 4/10/06 (including Postcard) (13 pgs.);

Copy of Postcard stamped by OIPE (1 pg.);

Copy of Facsimile with Credit Card Payment Form to Examiner (4 pgs.);

Return Postcard

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name

Kaplan Gilman Gibson & Dernier LLP (Customer No. 27538)

Signature

Printed name

Jeffrey I. Kaplan

Date

May 18, 2006

Reg. No.

34,356

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below: _____ Mail Stop: _____

Signature

Ute H. Wojtkowski

Typed or printed name

Ute H. Wojtkowski

Date

May 18, 2006

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



Applicant : Robert Karch
Title of Invention : RULE BASED SECURITY POLICY
ENFORCEMENT
Date Filed : February 1, 2000
Serial No. : 09/495,509
Examiner : DAVIS, Zachary A.
Art Unit : 2137
Attorney Docket No. : 125/7

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

RESPONSE TO NOTICE OF IMPROPER REQUEST

SIR:

This is responsive to the Notice of Improper Request mailed on April 19, 2006 in the above-identified case.

Enclosed is a full copy of the documents that were filed in connection with the subject RCE application. The Notice of Improper Request, which states that there was no accompanying submission, is in error. On April 25, 2006, the undersigned spoke with Ms. Brenda Harrison, who indicated that the Notice was in error and that a new Notice rescinding the old Notice would be promptly mailed. However, no such subsequent Notice has been received.

I hereby certify that this correspondence is being deposited with the United States Postal service as first class mail, in a postage prepaid envelope, addressed to the Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 on the date below:

Dated May 18, 2006

Signed

Ute H. Wojtkowski

Print Name Ute H. Wojtkowski

Application No. 09/495,509

Attorney Docket No.: 125/7

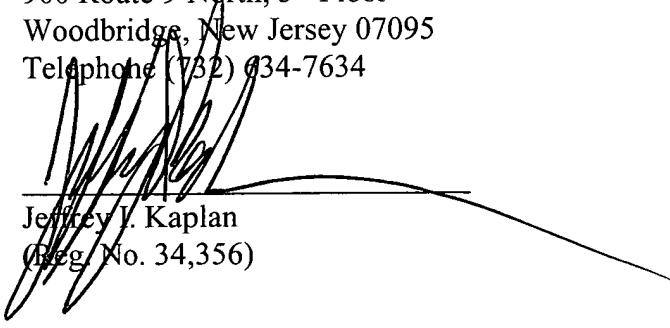
Applicant respectfully requests that the Office again review its records, and withdraw the erroneous Notice of April 19, 2006.

In the event any fees are due in owing, the Examiner is authorized to deduct fees believed due from our Deposit Account No. 11-0223.

Respectfully submitted,

KAPLAN GILMAN GIBSON DERNIER LLP
900 Route 9 North, 5th Floor
Woodbridge, New Jersey 07095
Telephone (732) 634-7634

Dated: May 18, 2006



Jeffrey L. Kaplan
(Reg. No. 34,356)



APPLICATION NUMBER FILING DATE

FIRST NAMED APPLICANT

ATTY. DOCKET NO./TITLE

09/495509



DATE MAILED:

NOTICE OF IMPROPER REQUEST FOR CONTINUED EXAMINATION (RCE)

The request for continued examination (RCE) under 37 CFR 1.114 filed on 4-11-06 is improper for reason(s) indicated below:

- ☐ 1. Continued examination under 37 CFR 1.114 does not apply to an application for a design patent. Applicant may wish to consider filing a continuing application under 37 CFR 1.53(b) or a CPA under 37 CFR 1.53(d).
- ☐ 2. Continued examination under 37 CFR 1.114 does not apply to an application that was filed before June 8, 1995. Applicant may wish to consider filing a continuing application under 37 CFR 1.53(b) or a CPA under 37 CFR 1.53(d).
- ☐ 3. Continued examination under 37 CFR 1.114 does not apply to an application unless prosecution in the application is closed. If the RCE was accompanied by a reply to a non-final Office action, the reply will be entered and considered under 37 CFR 1.111. If the RCE was not accompanied by a reply, the time period set forth in the last Office action continues to run from the mailing date of that action.
- ☐ 4. The request was not filed before payment of the issue fee, and no petition under 37 CFR 1.313 was granted. If this application has not yet issued as a patent, applicant may wish to consider filing either a petition under 37 CFR 1.313 to withdraw this application from issue, or a continuing application under 37 CFR 1.53(b).
- ☐ 5. The request was not filed before abandonment of the application. The application was abandoned, or proceedings terminated on _____. Applicant may wish to consider filing a petition under 37 CFR 1.137 to revive this abandoned application.
- ☐ 6. The request was not accompanied by the fee set forth in 37 CFR 1.17(e) as required by 37 CFR 1.114. Since the application is not under appeal, the time period set forth in the final Office action or notice of allowance continues to run from the mailing date of that action or notice.
- ☒ 7. The request was not accompanied by a submission as required by 37 CFR 1.114. Since the application is not under appeal, the time period set forth in the final Office action or notice of allowance continues to run from the mailing date of that action or notice.

Note: If a request for a continued prosecution application (CPA) under 37 CFR 1.53(d) has been filed in the utility or plant application (including a previously filed CPA) that was filed on or after May 29, 2000, the request for a CPA has been treated as a RCE because the CPA practice no longer applies to such application. The constructive RCE, however, is improper for reason(s) indicated above.

A copy of this notice MUST be returned with any reply.

Direct the reply and any questions about this notice to:

Brenda HARRISON, Examining Group T.C. 2100

571-272-3590

~~(703) 20~~

FORM PTO-2051 (Rev. 3/2001)

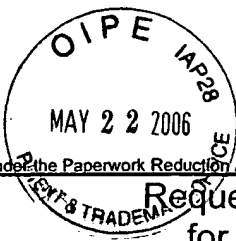
KAPLAN GILMAN GIBSON & DERNIER LLP

Date: 04/10/06 Attorney: JIK
Re: RULE BASED SECURITY POLICY
ENFORCEMENT

Client No.: 125/7 Client Name: Teleran
Application/Patent/Registration No.: 09/495,509
(Prior Appln.: _____)

Enclosures: RCE transmittal, Amendment (9 pgs.),
Petition for 3-Month Extension of Time, completed Credit
Card Form and return postcard.

The stamp of the PTO mailroom hereon indicates receipt
of the identified document(s) on the date of such stamp.



**Request
for
Continued Examination (RCE)
Transmittal**

Address to:
Mail Stop RCE
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Application Number	09/495,509
Filing Date	February 1, 2000
First Named Inventor	Robert Karch
Art Unit	2137
Examiner Name	Zachary A. Davis
Attorney Docket Number	125/7

This is a Request for Continued Examination (RCE) under 37 CFR 1.114 of the above-identified application.
Request for Continued Examination (RCE) practice under 37 CFR 1.114 does not apply to any utility or plant application filed prior to June 8, 1995, or to any design application. See Instruction Sheet for RCEs (not to be submitted to the USPTO) on page 2.

1. **Submission required under 37 CFR 1.114** Note: If the RCE is proper, any previously filed unentered amendments and amendments enclosed with the RCE will be entered in the order in which they were filed unless applicant instructs otherwise. If applicant does not wish to have any previously filed unentered amendment(s) entered, applicant must request non-entry of such amendment(s).
- a. ☐ Previously submitted. If a final Office action is outstanding, any amendments filed after the final Office action may be considered as a submission even if this box is not checked.
- i. ☐ Consider the arguments in the Appeal Brief or Reply Brief previously filed on _____
- ii. ☐ Other _____
- b. ☒ Enclosed
- i. ☒ Amendment/Reply
- iii. ☐ Information Disclosure Statement (IDS)
- ii. ☐ Affidavit(s)/ Declaration(s)
- iv. ☐ Other _____
2. **Miscellaneous**
- a. ☐ Suspension of action on the above-identified application is requested under 37 CFR 1.103(c) for a period of _____ months. (Period of suspension shall not exceed 3 months; Fee under 37 CFR 1.17(i) required)
- b. ☒ Other Petition for 3-Month Extension of Time
3. **Fees** The RCE fee under 37 CFR 1.17(e) is required by 37 CFR 1.114 when the RCE is filed.
- a. ☒ The Director is hereby authorized to charge the following fees, any underpayment of fees, or credit any overpayments, to Deposit Account No. 11-0223. I have enclosed a duplicate copy of this sheet.
- i. ☐ RCE fee required under 37 CFR 1.17(e)
- ii. ☐ Extension of time fee (37 CFR 1.136 and 1.17)
- iii. ☐ Other _____
- b. ☐ Check in the amount of \$ _____ enclosed
- c. ☒ Payment by credit card (Form PTO-2038 enclosed)

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED

Signature		Date	April 10, 2006
Name (Print/Type)	Jeffrey I. Kaplan	Registration No.	34,356

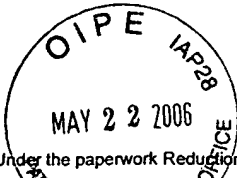
CERTIFICATE OF MAILING OR TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop RCE, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 or facsimile transmitted to the U.S. Patent and Trademark Office on the date shown below

Signature		Date	April 10, 2006
Name (Print/Type)	Paula M. Halsey		

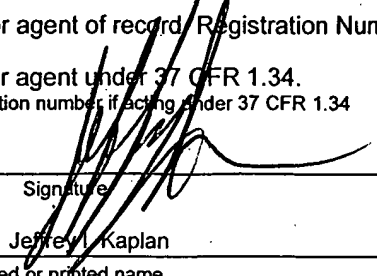
This collection of information is required by 37 CFR 1.114. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop RCE, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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Under the paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

PTO/SB/22 (12-04)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

PETITION FOR EXTENSION OF TIME UNDER 37 CFR 1.136(a) FY 2005 <small>(Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).)</small>		Docket Number (Optional) <div style="text-align: right;">125/7</div>																									
Application Number 09/495,509		Filed February 1, 2000																									
For RULE BASED SECURITY POLICY ENFORCEMENT																											
Art Unit 2137		Examiner Zachary A. Davis																									
<p>This is a request under the provisions of 37 CFR 1.136(a) to extend the period for filing a reply in the above identified application.</p> <p>The requested extension and fee are as follows (check time period desired and enter the appropriate fee below):</p> <table style="width: 100%; border-collapse: collapse;"><thead><tr><th style="width: 40%;"></th><th style="width: 15%; text-align: center;"><u>Fee</u></th><th style="width: 15%; text-align: center;"><u>Small Entity Fee</u></th><th style="width: 30%;"></th></tr></thead><tbody><tr><td><input type="checkbox"/> One month (37 CFR 1.17(a)(1))</td><td style="text-align: center;">\$120</td><td style="text-align: center;">\$60</td><td>\$ _____</td></tr><tr><td><input type="checkbox"/> Two months (37 CFR 1.17(a)(2))</td><td style="text-align: center;">\$450</td><td style="text-align: center;">\$225</td><td>\$ _____</td></tr><tr><td><input checked="" type="checkbox"/> Three months (37 CFR 1.17(a)(3))</td><td style="text-align: center;">\$1020</td><td style="text-align: center;">\$510</td><td>\$ <u>510.00</u></td></tr><tr><td><input type="checkbox"/> Four months (37 CFR 1.17(a)(4))</td><td style="text-align: center;">\$1590</td><td style="text-align: center;">\$795</td><td>\$ _____</td></tr><tr><td><input type="checkbox"/> Five months (37 CFR 1.17(a)(5))</td><td style="text-align: center;">\$2160</td><td style="text-align: center;">\$1080</td><td>\$ _____</td></tr></tbody></table> <p><input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.</p> <p><input type="checkbox"/> A check in the amount of the fee is enclosed.</p> <p><input checked="" type="checkbox"/> Payment by credit card. Form PTO-2038 is attached.</p> <p><input type="checkbox"/> The Director has already been authorized to charge fees in this application to a Deposit Account.</p> <p><input checked="" type="checkbox"/> The Director is hereby authorized to charge any fees which may be required, or credit any overpayment, to Deposit Account Number <u>11-0223</u>. I have enclosed a duplicate copy of this sheet.</p> <p>WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p> <p>I am the <input type="checkbox"/> applicant/inventor.</p> <p><input type="checkbox"/> assignee of record of the entire interest. See 37 CFR 3.71. Statement under 37 CFR 3.73(b) is enclosed (Form PTO/SB/96).</p> <p><input checked="" type="checkbox"/> attorney or agent of record. Registration Number <u>34,356</u></p> <p><input type="checkbox"/> attorney or agent under 37 CFR 1.34. Registration number, if acting under 37 CFR 1.34 _____</p> <div style="display: flex; justify-content: space-between; margin-top: 20px;"><div style="width: 60%; text-align: center;"> _____ Signature Jeffrey Kaplan _____ Typed or printed name</div><div style="width: 35%; text-align: center;"><u>April 10, 2006</u> _____ Date <u>(732) 634-7634</u> _____ Telephone Number</div></div> <p><small>NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.</small></p> <p><input checked="" type="checkbox"/> Total of <u>1</u> forms are submitted.</p>					<u>Fee</u>	<u>Small Entity Fee</u>		<input type="checkbox"/> One month (37 CFR 1.17(a)(1))	\$120	\$60	\$ _____	<input type="checkbox"/> Two months (37 CFR 1.17(a)(2))	\$450	\$225	\$ _____	<input checked="" type="checkbox"/> Three months (37 CFR 1.17(a)(3))	\$1020	\$510	\$ <u>510.00</u>	<input type="checkbox"/> Four months (37 CFR 1.17(a)(4))	\$1590	\$795	\$ _____	<input type="checkbox"/> Five months (37 CFR 1.17(a)(5))	\$2160	\$1080	\$ _____
	<u>Fee</u>	<u>Small Entity Fee</u>																									
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<input type="checkbox"/> Four months (37 CFR 1.17(a)(4))	\$1590	\$795	\$ _____																								
<input type="checkbox"/> Five months (37 CFR 1.17(a)(5))	\$2160	\$1080	\$ _____																								

This collection of information is required by 37 CFR 1.136(a). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 6 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS: SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Robert Karch
Title of Invention : RULE BASED SECURITY POLICY
ENFORCEMENT
Date Filed : February 1, 2000
Serial No. : 09/495,509
Examiner : DAVIS, Zachary A.
Art Unit : 2137
Attorney Docket No. : 125/7

Mail Stop RCE
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

AMENDMENT

SIR:

This is responsive to the Office Action dated October 11, 2005 in connection with the above-referenced patent application. A petition and accompanying fee for a three month extension of time is enclosed herewith.

Pursuant to the brief telephone call of today with the examiner, the undersigned attorney requests that prior to action on this amendment, the examiner telephone the undersigned to conduct a brief interview to further discuss the main prior art being relied upon.

I hereby certify that this correspondence is being deposited with the United States Postal service as first class mail, in a postage prepaid envelope, addressed to the Mail Stop RCE, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 on the date below:

Dated April 10, 2006

Signed

Print Name Paula M. Halsey

Amendments to the claims:

1. (presently amended) A method of enforcing security policies in a data access system, said data access system having data access management software in program memory, said method comprising:
 - defining a ~~first action~~ as a first condition;
 - ~~determining that a second action should not take place if said condition occurs; and~~
 - upon occurrence of said first condition, placing a rule into data access management software in said data access system, said rule testing for a second condition and precluding an action if said second condition is present, said rule being stored remotely and only loaded into program memory for the duration of said first condition. ~~precluding said second action.~~
2. (original) The method of claim 1 wherein said condition is effectuation of a first transaction by a user and said second action is the effectuation of a related transaction by the same user.
3. (presently amended) The method of claim 1 wherein said first condition is effectuation of a first transaction by a first user in a particular role, and said ~~second~~ action is the effectuation of a second transaction and said second condition is that a specified user is associated with said second action. ~~by a second user in a second role, the roles being either the same or different.~~
4. (presently amended) The method of claim 3 wherein the first user and the specified user are different. ~~the role of the first user and that of the second user are different.~~
5. (presently amended) The method of claim 2, further comprising eliminating said rule from said data access management software immediately upon rescinding of said condition.
6. (presently amended) The method of claim 2 wherein a user attempting to effectuate said ~~related transaction~~ second action is informed of said first condition or said second condition and advised automatically that said second action is prohibited. ~~pending the relinquishment of the~~

~~condition.~~

7. (presently amended) The method of claim 2 wherein said first action is the ordering of goods or services and said second action is the payment for such goods or services and said second condition is the user attempting such payment is the same user ordering said goods or services.

8. (presently amended) Apparatus for enforcing security policies to increase security of data access management software, said apparatus comprising:

a file of rules, said rules only being applicable to prevent specified data transactions by a first user upon the effectuation of ~~specified transactions to modify the data~~ a specified action by said first user;

software for recognizing that said first user has effected said specified action ~~transaction~~,
and

means for reading said file, locating said rules to prevent said specified data transactions, and, upon occurrence of a said specified action of said first user, integrating said rules into said data access management software such that said specified ~~database~~ data transactions are prohibited, wherein said rules are not integrated with said data access management software prior to said occurrence of said specified action.

9. (original) Apparatus of claim 8 wherein further comprising means for eliminating the rule from the data access management software at the conclusion of a predetermined time or upon a predetermined condition.

10. (previously presented) A method of enforcing confidentiality in the form of a wall comprising the steps of:

storing at least one rule that prohibits a known party from accessing specified information in a database or file if a first specified condition occurs;

upon a first specified condition occurring, modifying data access management software to include a rule that prohibits a known party from accessing specified information in a database or file;

said first specified condition being indicative of said known party having knowledge of a particular set of information; and

upon a second specified condition occurring, removing said rule from the data access management software and storing said rule for future use, said specified second condition indicating that said knowledge is no longer sensitive.

11. (original) The method of claim 10 wherein said rule is generated from a template rule.
12. (original) The method of claim 11 wherein said known party is defined as any individual engaged in a predetermined role.
13. (previously presented) The method of claim 10 wherein said known party is notified of the occurrence of said second condition.
14. (original) The method of claim 13 wherein said notification is via email.
15. (original) The method of claim 10 wherein said knowledge is no longer sensitive because it has been made public or because a predetermined time has passed.
16. (original) The method of claim 1 wherein said rule is generated from a template rule.
17. (previously presented) The method of claim 10 wherein some other individual, not the known party, is notified of the occurrence of said second condition.
18. (previously presented) The method of claim 17 wherein said notification is via e-mail.
19. (previously presented) The method of claim 11 wherein some other individual, not the known party, is notified of the occurrence of said second condition.
20. (previously presented) The method of claim 19 wherein said notification is via e-mail.

21. (cancelled)
22. (previously presented) The method of claim 11 wherein another individual, not the known party, is notified when the known party attempts the prohibited second action more than once.
23. (previously presented) The method of claim 10 wherein another individual, not the known party, is notified when the known party attempts to access said specified information in the database more than once.
24. (previously presented) The method of claim 23 wherein the notification is via e-mail.
25. (original) The method of claim 22 wherein the notification is via e-mail.
26. (previously presented) The method of claim 23 wherein said another individual is the users manager or supervisor.
27. (previously presented) The method of claim 23 wherein said another individual is responsible for data security.
28. (previously presented) The method of claim 22 wherein said another individual is the users manager or supervisor.
29. (previously presented) The method of claim 22 wherein said another individual is responsible for data security.
30. (previously presented) The apparatus of claim 9 wherein the eliminated rule is saved in an audit log.
31. (previously presented) The method of claim 10 wherein the removed rule is saved in an audit log.
32. (previously presented) The method of claim 1 wherein the rule is not loaded until a specified user logs on to the system.
33. (previously presented) The method of claim 1 wherein the rule is only tested for a specified

user.

34. (previously presented) The method of claim 10 wherein the rule is not loaded until a specified user logs on to the system.
35. (previously presented) The method of claim 10 wherein the rule is only tested for a specified user.
36. (previously presented) The method of claim 3 wherein the rule is not loaded until a user in a specified role logs on to the system.
37. (previously presented) The method of claim 3 wherein the rule is only tested for a user in a specified role.
38. (previously presented) The method of claim 12 wherein the rule is not loaded until a user in a specified role logs on to the system.
39. (previously presented) The method of claim 12 wherein the rule is only tested for a user in a specified role.
40. (original) The method of claim 1 wherein the security policy is separation of duties.
41. (original) The method of claim 1 wherein the security policy is compliance to regulation.
42. (original) The method of claim 1 wherein the security policy is privacy of data.
43. (previously presented) The method of claim 23 wherein said another individual is a computer process.
44. (previously presented) The method of claim 22 wherein said another individual is a computer process.
45. (previously presented) The method of claim 1 wherein said rule is generated upon occurrence of said condition.

46. (previously presented) The apparatus of claim 8 further comprising means for generating said rules upon occurrence of said specified action of said first user.

47. (previously presented) The method of claim 10 wherein said rule is generated upon occurrence of said first specified condition.

REMARKS

This is responsive to the Office Action dated October 11, 2005 in the above identified application. A petition for a 3 month extension of time is enclosed, along with the appropriate fee.

The present invention teaches a novel technique in implementing security policy rules. The present invention stores the rules separately from the main software, and only loads them for execution when specified conditions occur. Thus, unlike all of the prior art cited, the present invention does not require the execution of these security policy rules each time the main software is run.

All of the independent claims clearly point out this important distinction, although they use slightly different language to do so. For example, amended claim 8 recites: “integrating said rules into said data access management software such that said specified data transactions are prohibited, wherein said rules are not integrated with said data access management software prior to said occurrence of said specified action.” Similarly, independent claim 10 recites “upon a first specified condition occurring, modifying data access management software to include a rule that prohibits a known party from accessing specified information in a database or file... upon a second specified condition occurring, removing said rule from the data access management software and storing said rule for future use.” (underlining added). In other words, the rules are independent of the main software, and are only loaded into program memory when they should execute.

This concept is described in applicant’s original specification, for example, at pages 3-5 and Figure 1. This unique feature is not described in any of the cited prior art. With one exception, all of the cited art appears to relate to security policies that are enforced with a static set of code that performs various tests and prohibitions.

As best applicant can tell from review of the cited references, only Hudson ‘637 relates in

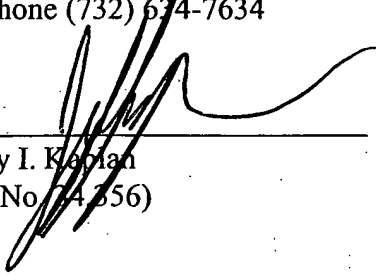
any way to a dynamic policy. However, Hudson implements the same fixed security policy applicable to a user for the duration of the user's session. (col. 1-2) It is "dynamic" only in the sense that it lasts for a user session. Hudson does not continue to monitor conditions and load rules from a remote source upon conditions occurring during the user's session. Accordingly, none of the prior art teaches applicant's system of storing the rules separately, monitoring the system for the occurrence of specified conditions, and then loading rules in and out of memory as conditions come into being and cease from existence.

Applicant therefore respectfully requests reconsideration and allowance in view of the above remarks and amendments. The Examiner is authorized to deduct additional fees believed due from our Deposit Account No. 11-0223.

Respectfully submitted,

KAPLAN GILMAN GIBSON DERNIER LLP
900 Route 9 North, 5th Floor
Woodbridge, New Jersey 07095
Telephone (732) 674-7634

Dated: April 10, 2006



Jeffrey I. Kaplan
(Reg. No. 74,356)

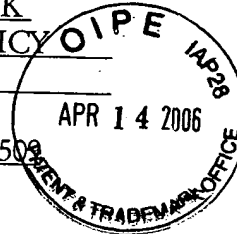
KAPLAN GILMAN GIBSON & DERNIER LLP

Date: 04/10/06 Attorney: JK

Re: RULE BASED SECURITY POLICY
ENFORCEMENT

Client No.: 125/7 Client Name: Teleran

Application/Patent/Registration No.: 09/495,509
(Prior Appln.: _____)



Enclosures: RCE transmittal, Amendment (9 pgs.),
Petition for 3-Month Extension of Time, completed Credit
Card Form and return postcard.

The stamp of the PTO mailroom hereon indicates receipt
of the identified document(s) on the date of such stamp.

KAPLAN GILMAN GIBSON & DERNIER LLP

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FACSIMILE COVER SHEET

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TO: Examiner Zachary A. Davis

COMPANY: U.S. Patent and Trademark Office

FAX NO.: (571) 273-8300

FROM: Jeffrey I. Kaplan, Esq.

We are sending a communication of 4 page(s) (including this cover sheet). Please call (732) 634-7634 immediately if transmission is interrupted or of poor quality.

OUR REF: 125/7

DATE: April 11, 2006

MESSAGE:

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CERTIFICATE OF FAXING

I hereby certify that this correspondence is being transmitted to fax number (571) 273-8300 and is addressed to Mail Stop RCE, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the date shown below.

Dated: April 11, 2006

Signature: *Paula M. Halsey*

Print Name: Paula M. Halsey

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NEW YORK OFFICE:

305 MADISON AVENUE, SUITE 449, NEW YORK, NEW YORK 10165, TEL: (212) 807-4171, FAX: (212) 957-1912



Applicant : Robert Karch
Title of Invention : RULE BASED SECURITY POLICY
ENFORCEMENT
Date Filed : February 1, 2000
Serial No. : 09/495,509
Examiner : DAVIS, Zachary A.
Art Unit : 2137
Attorney Docket No. : 125/7

Mail Stop RCE
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

SIR:

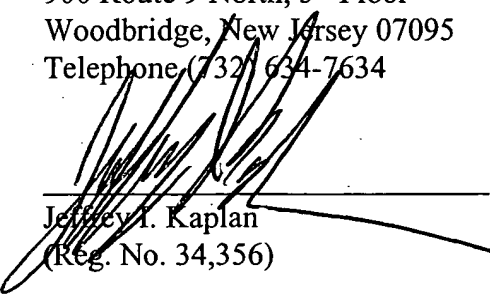
In accordance with our filing of April 10, 2006 of a Request for Continued Examination and Amendment, please note that we omitted the amount of fees to be charged to our Credit Card. (See attached credit card form dated April 10, 2006). We enclose herewith a newly completed form with the correct fees to be charged to Kaplan Gilman Gibson & Dernier LLP's credit card.

The Commissioner is authorized to deduct additional fees believed due from our Deposit Account No. 11-0223.

Respectfully submitted,

KAPLAN GILMAN GIBSON DERNIER LLP
900 Route 9 North, 5th Floor
Woodbridge, New Jersey 07095
Telephone (732) 634-7634

Dated: April 11, 2006

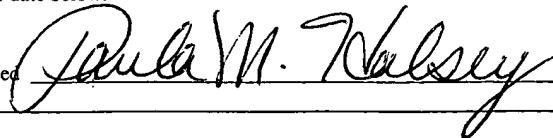


Jeffrey I. Kaplan
(Reg. No. 34,356)

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Dated April 11, 2006

Signed



Print Name Paula M. Halsey